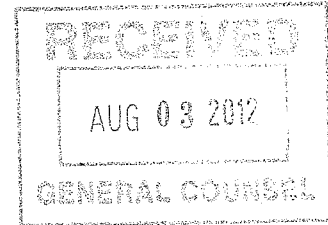




State of West Virginia

Office of the State Auditor
1900 Kanawha Boulevard, East
State Capitol Complex, Building 1, Room W-100
Charleston, West Virginia 25305

Glen B. Gainer III
State Auditor



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August 1, 2012

Mr. Peter G. Markham, General Counsel
Office of the Governor
State Capitol
1900 Kanawha Boulevard, East
Charleston, West Virginia 25305

Dear Mr. Markham,

Enclosed you will find the After Action Review Questionnaire that was sent to my office with your July 17, 2012 letter.

Should you have any questions or need further information, please do not hesitate to contact my office.

Sincerely,

A handwritten signature in black ink, appearing to read "Glen B. Gainer III". The signature is stylized with a large, sweeping initial "G" and "B".

Glen B. Gainer III
State Auditor

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: West Virginia State Auditor's Office

Project/Event: Emergency response to storm-related state of emergency

Prepared by: Mark D. Shelhammer, CBCP

Date of Review: July 20, 2012

In responding to the following questions, please use additional sheets as necessary

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Amy Lewis	Executive Director, P-Card	Supervise emergency P-Card activation for various Emergency Management groups and governmental agencies
Mike Barker	Director of IT Operations	Operation of WVSAO data processing assets and hot-site coordinator.
Mike Sizemore	Internal Auditor	Assist/advise the State Auditor and WVSAO Directors in the development of emergency policies on an as needed basis. Investigates and advises relative to fraud mitigation.
Tina Coakley	Asst. Payroll Director	Manages the critical payroll function to ensure that state employees and retirees receive compensation as expected.
Charles Perdue	Controller	Manages personnel, purchasing, warehousing, and all administrative functions. Also serves as the Emergency Management Contact for the WVSAO.
Mark Shelhammer, CBCP	Executive Director, ePayments	Responsible for all electronic payments made by the WVSAO. WVSAO Continuity of Operations Plan (COOP) Administrator.

Please provide a detail summary of your Agency/Commission's role in responding to the state of emergency.

The primary response role required by the West Virginia State Auditor's Office during any state of emergency is as follows:

1. Ensure that the health and well-being of WVSAO employees is of paramount importance to all agency directors.
2. Ensure that State purchasing cards are activated for over 1,000 users that provide essential security, emergency response or governmental services to the citizens of West Virginia.
3. Ensure that each employee or retiree that is entitled to remuneration by the State receives their payment as expected.
4. Ensure that governmental/quasi-governmental agencies receive funds in which they are entitled to in a timely manner.
5. Ensure that vendors that are entitled to a payment for goods/services to the State are paid in a timely manner.
6. Ensure every person, system and policy within the WVSAO is aligned to mitigate the risk of an inappropriate or fraudulent payment.

What went well and why?

(What were the successful steps take towards achieving your objective?)

SUCCESSSES	HOW TO ENSURE SUCCESS IN THE FUTURE
Staff was notified efficiently and effectively	Using the Everbridge notification system, WVSAO employees were contacted immediately upon the receipt of information necessary to support the agency's mission. The CIO ensures that the notification lists are kept up-to-date. Several employees within the WVSAO have access to use the notification system.
IS&T Availability	The WVSAO IS&T Division protected data processing assets through the use of surge protected circuits and uninterrupted power supplies and the proper environmental infrastructure. The availability of applications and data is also enhanced by the operation of the WVSAO Data processing hot-site in Clarksburg WV. Data is replicated and backed up constantly to the hot-site. The hot-site is outfitted with a generator to ensure uninterrupted power should electricity be suspended in both the Kanawha Valley and Clarksburg.
Divisional Cross Training/Documentation	The WVSAO Directors are aware that COOP planning must include provisions for the loss of personnel. To that end, cross-training within the WVSAO divisions is encouraged. Further, most if not all critical functions within WVSAO divisions are documented to ensure that personnel unfamiliar with the process could perform them as long as they have the correct application/data access.
Continuity of Operations Plans (COOP)	Every critical function of the WVSAO operation has a continuity plan. Critical functions, assets, vendors, processes and personnel have been identified.
Activation of Emergency P-Cards	<p>P-Card leadership has taken the following actions to ensure efficient activation of emergency P-Cards:</p> <ul style="list-style-type: none"> • Various management employees are authorized to activate emergency P-Cards • P-Cards can be activated either by Internet or Phone • The actual activation is outsourced to a 3rd party outside of WV

SUCSESSES	HOW TO ENSURE SUCCESS IN THE FUTURE
The Capitol is served by two (2) electric grids	Continued maintenance of the separate electric grids mitigates the loss of power risk should either grid fail.

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Sustainable IT Infrastructure	In order to ensure that the WVSAO Data Center can continue operations at the Capitol, an onsite generator must be installed. While the IS&T Division has done an admirable job in mitigating the loss of data processing, an on-site generator would be necessary to keep air conditioners running in the data center. Without proper air conditioning, equipment would quickly fail unless shut down.
Telecommunications	With the interruption of phone service throughout the state (both land lines as well as cellular service), several possible solutions could mitigate the risk of interrupted telecommunications: <ul style="list-style-type: none">• Consider utilizing two separate cellular carriers in the event that only one carrier is affected• Consider purchasing several satellite phones for the State Auditor and other critical personnel• Maintain POTS lines as well as VOIP
Emergency Contacts	WVSAO P-Card Division could enhance its communications to its emergency customers by: <ul style="list-style-type: none">• Consider creating an Emergency Contact Group for its customers on Everbridge• Consider creating an Emergency Contact Email Group for its customers in Outlook
Train/Exercise Emergency Shut Down Procedures for the WVSAO Data Center Equipment	After ensuring that the documented procedures are up-to-date, periodic training sessions should be held for all responsible WVSAO personnel to ensure that an orderly shut-down can be accomplished.
Acquire Portable UPS Equipment	Using information uncovered during the BIA, acquire portable UPS units for PCs in each division that must perform a critical function.

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Succession Plan	Ensure that all personnel are aware of succession plans in each agency/commission to ensure continuity of command & control.
Communication Strategy	<p>Ensure that each agency/commission has a clear communication strategy that includes:</p> <ul style="list-style-type: none"> • Who is authorized to communicate • Who is authorized to receive communications • What delivery channels will be used • Media relations • Other considerations as appropriate <p>Ensure that each agency has primary and several backup personnel authorized for each consideration mentioned.</p>
Inter-Agency Coordination	Responsible individuals from each agency/commission should meet on a quarterly basis to discuss considerations that would address operational risk and the associated mitigation tactics. Having a coordinated effort would likely result in each Constitutional Officer having a better idea of what to expect from each other and the Governor's Office.
Agency/Commission Critical Personnel	Each Agency/Commission should maintain a list of contact information including work, personal (home and/or cell) and state provided cell phones as well as state and personal email addresses for all state employees deemed critical. During a state of emergency, a critical function in one agency/commission could require support/coordination from an individual in another agency (e.g. payroll, crisis management, facility issues, etc.).
Exercise Plans	Each Agency/Commission should develop test/exercises to ensure viability of continuity of operations plans. The WVSAO will be holding a tabletop exercise in August 2012.